

IN RE PATENT APPLICATION OF: Argoitia et al.

OUR FILE NO: 78376 (18-72 US CIP)

SERIAL NUMBER: 10/762,158

GROUP: 1773

FILED: January 20, 2004

EXAMINER: L. Kilman

TITLE: OPAQUE FLAKE FOR COVERT SECURITY APPLICATIONS

CONFIRMATION NO: 4960

**Information Disclosure Statement**

**EFILED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Attached is a Form PTO-1449 listing several references for consideration in the examination of the above-identified application. A copy of each non-US patent reference may be found in family applications or is provided herewith. This application is a CIP of US application Serial No. 10/641,695 filed August 14, 2003, and is also a CIP of US Serial No. 10/243,111 filed September 13, 2002, now US Patent No. 6,902,807. Also, this application has a child which is a CIP of US application Serial No. 10/762,158 filed January 20, 2004, which is a CIP of 10/641,695 filed August 14, 2003 and is also a CIP of US application Serial No. 10/243,111 filed September 13, 2002, now US Patent No. 6,902,807. It is requested that these references be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR 1.97 and Section 609 of the MPEP.

**Certification**

This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.

This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant in the above-identified application.

This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. § 1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. § 1.97(c) and § 1.17(p) is submitted herewith.

This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to § 1.17(i) (1) are submitted herewith.

A certification under 37 C.F.R. §1.97 is submitted herewith separately from this paper.

It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

X Authorization is given to charge Deposit Account No. 50-1465 in the amount of \$180 for the requisite fee. If any additional extension and/or fee is required, or if any additional fees are required, authorization is given to charge Deposit Account No. 50-1465.

Respectfully submitted,

/Charles E. Wands/  
Registration No: 25,649

October 17, 2006  
Date:

**CUSTOMER NO. 27975**

<b>Form PTO 1449A</b>  U.S. Department of Commerce Patent and Trademark Office  Information Disclosure Statement by Applicant		<b>ATTY. DOCKET NUMBER:</b>  78376 (18-72 US CIP)	<b>SERIAL NUMBER:</b>  10/762,158
		<b>APPLICANT:</b>  ARGOITIA ET AL.	
		<b>FILING DATE:</b>  JANUARY 20, 2004	<b>GROUP:</b>  1773

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS	FILED APP
	2,570,856	Oct. 9, 1951	Pratt et al	41	32	
	3,627,580	Dec. 14, 1971	Krall	117	238	
	3,633,720	Jan. 11, 1972	Tyler	400	105	
	3,845,499	Oct. 29, 1974	Ballinger	346	74.3	
	3,873,975	Mar. 25, 1975	Miklos et al.	360	25	
	4,054,922	Oct. 25, 1977	Fichter	346	74.3	
	4,197,563	Apr. 8, 1980	Michaud	346	74.3	
	4,271,782	Jun. 9, 1981	Bate et al	118	623	
	4,543,551	Sep. 24, 1985	Peterson	335	284	
	4,931,309	Jun. 5, 1990	Komatsu et al	427	599	
	5,079,058	Jan. 7, 1992	Tomiyama	428	40	
	5,177,344	Jan. 5, 1993	Pease	235	449	
	5,474,814	Dec. 12, 1995	Komatsu et al	427	549	
	6,403,169	Jun. 2002	Hardwick et al	427	548	
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	6,649,256	Nov. 2003	Buczek et al	428	323	
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	6,902,807	Jun. 7, 2005	Argoitia et al.	428	403	
	7,047,883	May 23, 2006	Raksha et al.	101	489	

EXAMINER	DATE CONSIDERED
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*EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant*

<p><b>Form PTO 1449A</b></p> <p><b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b></p> <p>Information Disclosure Statement by Applicant</p>	<p><b>ATTY. DOCKET NUMBER:</b> <b>78376 (18-72 US CIP)</b></p>	<p><b>SERIAL NUMBER:</b> <b>10/762,158</b></p>
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## **U.S. PATENT DOCUMENTS**

	<b>2004/0009309</b>	<b>Jan. 15, 2004</b>	<b>Raksha et al.</b>	<b>427</b>	<b>598</b>	
	<b>4,788,116</b>	<b>Nov. 29, 1988</b>	<b>Hochberg</b>	<b>430</b>	<b>21</b>	
	<b>5,811,775</b>	<b>Sep. 22, 1998</b>	<b>Lee</b>	<b>235</b>	<b>457</b>	
	<b>6,549,131</b>	<b>Apr. 15, 2003</b>	<b>Cote et al.</b>	<b>340</b>	<b>572.1</b>	
	<b>6,815,065</b>	<b>Nov. 9, 2004</b>	<b>Argoitia et al.</b>	<b>428</b>	<b>403</b>	
	<b>6,759,097</b>	<b>July 6, 2004</b>	<b>Phillips et al.</b>	<b>427</b>	<b>510</b>	
	<b>20040151827</b>	<b>Aug. 5, 2004</b>	<b>Argoitia et al.</b>	<b>427</b>	<b>7</b>	
	<b>20050037192</b>	<b>Feb. 17, 2005</b>	<b>Argoitia et al.</b>	<b>428</b>	<b>323</b>	
	<b>20050106367</b>	<b>May 19, 2005</b>	<b>Raksha et al.</b>	<b>428</b>	<b>199</b>	
	<b>20050123755</b>	<b>Jun 9, 2005</b>	<b>Argoitia et al.</b>	<b>428</b>	<b>402</b>	

## **FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
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		WO05/017048	Feb. 24, 2005	WIPO	C09C	1/00	
		WO88/07214	Sep 22, 1988	WIPO	G02B	5/128	
		WO02/090002	Nov 14, 2002	WIPO	B05D	3/14	
		1107395	Mar 27, 1968	Great Britain	G03G	1/00	
		1131038	Oct 16, 1968	Great Britain	B44F	3/00	

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	<b>FILING DATE:</b>  JANUARY 20, 2004	<b>GROUP:</b>  1773

**OTHER DOCUMENTS (Including Author, Title, Date Pertinent Pages, Etc.)**

	Halliday et al, "Fundamentals of Physics, Sixth Edition", p 662, July 2000
	Argoitia et al, "Pigments Exhibiting Diffractive Effects", Soc. of Vac. Coaters, 45 <sup>th</sup> Annual Tech. Conf. Proceed. (2002)
	Argoitia et al, "The concept of printable holograms through the alignment of diffractive pigments", SPIE Conference on Document Security, January 2004
	Coombs et al, "Integration of contracting technologies into advanced optical security devices", SPIE Conference on Document Security, January 2004
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